

APR 28 2003

PATENT & TRADEMARK OFFICE

PTO/SB/21 (08-03)

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(to be used for all correspondence after initial filing)

Application No. 09/960,125

Filing Date September 21, 2001

First Named Inventor Jian Li

Group Art Unit 2818

Examiner Name S. Rao

Attorney Docket Number 42390P11557X

Total Number of Pages in This Submission 10

ENCLOSURES (check all that apply)☒ Fee Transmittal Form☒ Fee Attached☐ Amendment / Response☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ PTO/SB/08☐ Certified Copy of Priority Document(s)☐ Response to Missing Parts/Incomplete Application☐ Basic Filing Fee☐ Declaration/POA☐ Response to Missing Parts under 37 CFR 1.52 or 1.53☐ Assignment Papers (for an Application)☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert a Provisional Application☐ Power of Attorney, Revocation Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s)☐ After Allowance Communication to Group☐ Appeal Communication to Board of Appeals and Interferences☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s) (please identify below):

- Check in the amount of \$180.00

- Return Postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Gregory D. Caldwell, Reg. No. 39,926

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Signature

Date

April 22, 2003

CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

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Date

April 22, 2003

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APR 28 2003

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U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003, Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Application Number **09/960,123**
Filing Date **September 21, 2001**
First Named Inventor **Jian Li**
Examiner Name **S. Rao**
Group/Art Unit **2813/502200**
Attorney Docket No. **42390PH1557X**

METHOD OF PAYMENT (check one)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☐ Deposit Account

Deposit Account Number **02-2666**

Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments
☐ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1001	750		2001	375		Utility filing fee	
1002	330		2002	165		Design filing fee	
1003	520		2003	260		Plant filing fee	
1004	750		2004	375		Reissue filing fee	
1005	160		2005	80		Provisional filing fee	
SUBTOTAL (1)						(\$)	

2. EXTRA CLAIM FEES

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1202	18		2202	9		Claims in excess of 20	
1201	84		2201	42		Independent claims in excess of 3	
1203	280		2203	140		Multiple Dependent claim, if not paid	
1204	84		2204	42		**Reissue independent claims over original patent	
1205	18		2205	9		**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)						(\$)	

*or number previously paid, if greater. For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Fee Code	Fee (\$)	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130		2051	65		Surcharge - late filing fee or oath	
1052	50		2052	25		Surcharge - late provisional filing fee or cover sheet	
2053	130		2053	130		Non-English specification	
1812	2,520		1812	2,520		For filing a request for ex parte reexamination	
1804	920*		1804	920*		* Requesting publication of SIR prior to Examiner action	
1805	1,840*		1805	1,840*		* Requesting publication of SIR after Examiner action	
1251	110		2251	55		Extension for reply within first month	
1252	410		2252	205		Extension for reply within second month	
1253	930		2253	465		Extension for reply within third month	
1254	1,450		2254	725		Extension for reply within fourth month	
1255	1,970		2255	985		Extension for reply within fifth month	
1404	320		2401	160		Notice of Appeal	
1402	320		2402	160		Filing a brief in support of an appeal	
1403	280		2403	140		Request for oral hearing	
1451	1,510		2451	1,510		Petition to institute a public use proceeding	
1452	110		2452	55		Petition to revive - unavoidable	
1453	1,300		2453	650		Petition to revive - unintentional	
1501	1,300		2501	650		Utility issue fee (or reissue)	
1502	470		2502	235		Design issue fee	
1503	630		2503	315		Plant issue fee	
1460	130		2460	130		Petitions to the Commissioner	
1807	50		1807	50		Processing fee under 37 CFR 1.17(c)	
1806	180		1806	180		Submission of Information Disclosure Sheet	180.00
8021	40		8021	40		Recording each patent assignment per property (time minus number of properties)	
1809	750		1809	375		Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	750		1810	375		For each additional invention to be examined (37 CFR § 1.129(b))	
1801	750		1801	375		Request for Continued Examination (RCE)	
1802	900		1802	900		Request for expedited examination of a design application	
Other fee (specify)							
*Reduced by Basic Filing Fee Paid						SUBTOTAL (3)	(\$) 180.00

SUBMITTED BY

Name (Print/Type) **Gregory D. Caldwell**

Signature

Registration No. (Attorney/Agent)

39,926

Telephone

(503) 684-6200

Date

04/22/03

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application to the USPTO. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED
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TECHNOLOGY CENTER 2800

In Re the Application of:

JIAN LI, ET AL.

Application No.: 09/960,125

Filed: September 21, 2001

For: **STACKED FERROELECTRIC
MEMORY DEVICE AND METHOD OF
MAKING SAME**

Art Group: 2818

Examiner: S. Rao

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 09/909,670, filed July 20, 2001) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

04/29/2003 CNGUYEN 00000052 09960125

01 FC:1006

180.00 OP

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The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

The fee set in the amount of \$180.00 for submission of the Information Disclosure Statement is enclosed herewith. Please charge any additional fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,


BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: April 22, 2003


Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
(503) 684-6200

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APR 28 2000

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE

STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of

Complete if Known

Application Number	09/960,125
Filing Date	September 21, 2001
First Named Inventor	Jian Li
Art Unit	2818
Examiner Name	S. Rao
Attorney Docket Number	42390P11557X

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner	Date
Signature	Considered

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

*Applicant's unique citation designation number (optional). *See Kansas Codes of USPTO Patent Documents at www.uspto.gov or MPEP 501.04. *Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). *For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. *Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. *Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/088 (10-01)

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**Sheet 2 of 3**Complete if Known**

Application Number 09/960,125
 Filing Date September 21, 2001
 First Named Inventor Jian Li
 Art Unit 2818
 Examiner Name S. Rao
 Attorney Docket Number 42390P11557X

OTHER ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.*	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	6	Borca et al., "Influence of dynamical scattering in crystalline poly (vinylidene fluoride-trifluoroethylene) copolymers", Applied Physics Letters, Vol 72, 347-349, 1/18/99
	7	Borca et al., "Lattice-Stiffening Transition in Copolymer Films of Vinylidene Fluoride (70%) with Trifluoroethylene (30%)", Physical Review Letters, 4562-4565, 11/29/99
	8	Bune et al., "Piezoelectric and pyroelectric properties of ferroelectric Langmuir-Blodgett polymer films", Journal of Applied Physics, Vol 85, 7869-7873, 6/1/99
	9	Bune et al., "Two-dimensional ferroelectric films", Nature, Vol. 391, 874-877, 2/26/98
	10	Choi et al., "Phase transition in the surface structure in copolymer films of vinylidene fluoride (70%) with trifluoroethylene (30%)", Physical Review B, Vol. 61, 5760-5770, 2/15/00
	11	Desu et al., "Minimization of Fatigue in Ferroelectric Films", Phys. Stat. Sol. (a) 151, 467-480, (1995)
	12	Ducharme et al., "Ultrathin Ferroelectric Polymer Films", Ferroelectrics, Vol. 202, 29-37, (1997)

Examiner Signature	Date	Considered
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*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

*Applicant's unique citation designation number. *Applicant is to place a check mark here if English language Translation is attached.

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